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PTO/SB/16 (8-00)

Approved for use through 10/31/2002. OMB 0651-0032

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PROVISIONAL APPLICATION FOR PATENT COVER SHEET

This is a request for filing a PROVISIONAL APPLICATION FOR PATENT under 37 CFR 1.53(c).

INVENTOR(S)					
Given Name (first and middle [if any])		Family Name or Surname	Residence (City and either State or Foreign Country)		
Oskar J.		Painter	Pasadena, CA		
Kerry J.		Vahala	San Gabriel, CA		
Peter C.		Sercel	Pasadena, CA		
Guido		Hunziker	Altadena, CA		
<input type="checkbox"/> Additional inventors are being named on the ___ separately numbered sheets attached hereto					
TITLE OF THE INVENTION (280 characters max)					
Modulators for resonant optical power control devices and methods of fabrication and use thereof					
Direct all correspondence to:			CORRESPONDENCE ADDRESS		
<input checked="" type="checkbox"/> Customer Number			23892		
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ENCLOSED APPLICATION PARTS (check all that apply)					
<input checked="" type="checkbox"/> Specification		Number of Pages	55	<input type="checkbox"/> CD(s), Number	
<input checked="" type="checkbox"/> Drawing(s)		Number of Sheets	20	<input checked="" type="checkbox"/> Other (specify)	
<input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		postcard receipt			
METHOD OF PAYMENT OF FILING FEES FOR THIS PROVISIONAL APPLICATION FOR PATENT (check one)					
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.		FILING FEE AMOUNT (\$)		75.00	
<input type="checkbox"/> A check or money order is enclosed to cover the filing fees					
<input type="checkbox"/> The Commissioner is hereby authorized to charge filing fees or credit any overpayment to Deposit Account Number:					
<input checked="" type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.					
The invention was made by an agency of the United States Government or under a contract with an agency of the United States Government.					
<input checked="" type="checkbox"/> No.					
<input type="checkbox"/> Yes, the name of the U.S. Government agency and the Government contract number are:					
Office of Naval Research Contract No. N00014-00-1-0072 via CalTech Subcontract No. 1008921					

Respectfully submitted,

SIGNATURE

David S. Alavi

Date 12/ 21 / 00

TYPED or PRINTED NAME

David S. Alavi

REGISTRATION NO.

40,310

(if appropriate)

Docket Number:

ALG03P

TELEPHONE

541-346-4619

USE ONLY FOR FILING A PROVISIONAL APPLICATION FOR PATENT

This collection of information is required by 37 CFR 1.51. The information is used by the public to file (and by the PTO to process) a provisional application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 8 hours to complete, including gathering, preparing, and submitting the complete provisional application to the PTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Box Provisional Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
60/257,248	12/21/2000		75	ALG03P	20		

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CONFIRMATION NO. 7685

CORRECTED FILING RECEIPT



OC000000006013504

Date Mailed: 04/26/2001

Receipt is acknowledged of this provisional Patent Application. It will not be examined for patentability and will become abandoned not later than twelve months after its filing date. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Oskar J. Painter, Pasadena, CA;
Kerry J. Vahala, San Gabriel, CA;
Peter C. Sercel, Pasadena, CA;
Guido Hunziker, Altadena, CA;

If Required, Foreign Filing License Granted 04/25/2001

Projected Publication Date: N/A

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Modulators for resonant optical power control devices and methods of fabrication and use thereof

Data entry by : STEPHANOS, MENBEREWORK T am : OIPE

Dat : 04/26/2001



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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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